

**TRANSMITTAL  
OF RECONSTRUCTED  
FILE HISTORY**

Application #	09/867,743
Confirmation #	5723
Filing Date	05/31/2001
First Inventor	Keeping
Art Unit	1724
Examiner	R. Popovics
Docket #	P07239US00/RFH

Commissioner for Patents

Alexandria, Virginia 22313

**Mail Stop: Reconstruction**  
**ATTN: Valerie Reid**

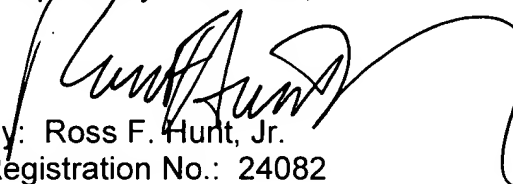
SIR:

On December 17, 2004, responsive to a Notice Under 37 CFR 1.251, applicant submitted, via hand delivery to the PTO, a reconstructed file history. On June 20, 2005, after months of waiting for the application to issue as a patent, a telephone call was placed to Valerie Reid, the PTO employee who sent out the Notice Under 37 CFR. Ms. Reid informed Donna Lewis, the assistant to undersigned, that the reconstructed file history was apparently lost, making this the second time that the PTO has misplaced the file for this application.

Accordingly, submitted herewith is another copy of the file history, together with a copy of the date-stamped PTO receipt of December 17, 2004.

It is respectfully requested that, under the circumstances, this application be forwarded to the Issue/Publication Branch under an expedited status since the issue fee was paid over one and one half years ago.

Respectfully submitted,

  
By: Ross F. Hunt, Jr.  
Registration No.: 24082

Date: September 19, 2005

STITES & HARBISON PLLC • 1199 North Fairfax St. • Suite 900 • Alexandria, VA 22314 • (703) 739-4900

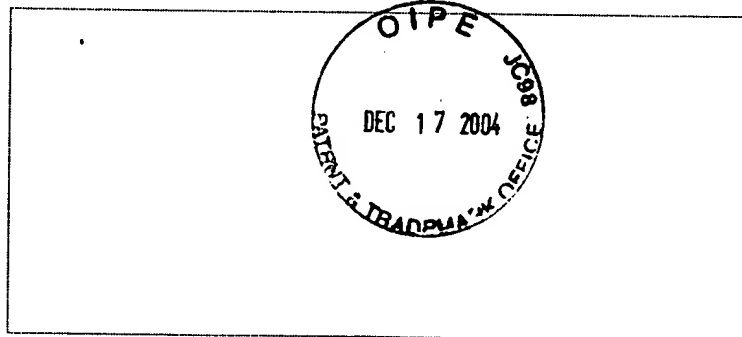
<b>PTO</b>  <b>STAMPED RECEIPT</b>	Application #	09/867,743
	Confirmation #	5723
	Filing Date	05/31/2001
	First Inventor	KEEPING
	Art Unit	1724
	Examiner	R. Popovics
	Docket #	P07239US00/.RFH

### P A P E R S   S U B M I T T E D

..... Transmittal Form	..... IDS: Including
..... Amendment/Response	..... List of References
..... with Attachments	..... Search Report
..... Amendment/Response After Final	..... Statement of Relevance
..... with Attachments	..... Refs. Transmitted
..... Petition for Extension of Time	..... Issue Fee Transmittal
..... Response to Missing Parts	..... Publication Fee Transmittal
..... Declaration	..... Letter to Draftsman
..... Translation of Application	..... _ sheets of formal drawings
..... Assignment	..... (figs. )
..... Priority Document	..... PCT Demand Chapter II
..... Fee: \$ (CREDIT CARD - PTO-2038).	..... Notice of Appeal
X Copy of Notice Under 37 CFR 1.251	..... Appeal Brief (in triplicate)
X RECONSTRUCTED FILE HISTORY	.....

December 17, 2004

PTO Receipt Stamp →



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

In re Application of:

KEEPING, Sean Crispian

Application No.:

09/867,743

Filing Date:

05/31/2001

Title:

MICRO FILTRATION

Direct to:

Mail Stop RECONSTRUCTION  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

### NOTICE UNDER 37 CFR 1.251 - Pending Application

Statement (check the appropriate box):

☒ The copy submitted with this reply is a complete and accurate copy of applicant's record of all of the correspondence between the Office and the applicant for the above-identified application (except for U.S. patent documents), and applicant is not aware of any correspondence between the Office and applicant for the above-identified application that is not among applicant's records.

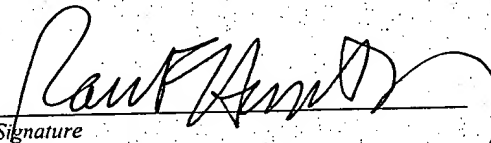
☐ The copy of the paper(s) listed in the notice under 37 CFR 1.251 is/are a complete and accurate copy of applicant's record of such paper(s).

☐ The papers produced by applicant are applicant's complete record of all of the correspondence between the Office and the applicant for the above-identified application (except for U.S. patent documents), and applicant is not aware of any correspondence between the Office and the applicant for the above-identified application that is not among applicant's records.

☐ Applicant does not possess any record of the correspondence between the Office and the applicant for the above-identified application.

December 17, 2004

Date

  
Signature

Ross F. Hunt, Jr.

Typed or printed name

**A copy of this notice should be returned with the reply.**

**Burden Hour Statement:** This collection of information is required by 37 CFR 1.251. The information is used by the public to reply to a request for copies of correspondence between the applicant and the USPTO in order to reconstruct an application file. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This form is estimated to take 60 minutes to complete. This time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, Virginia 22313-1450. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450.**

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In re Application of: KEEPING, Sean Crispian

Application No.: 09/867,743

Filing Date: 05/31/2001

Title: MICRO\_FILTRATION

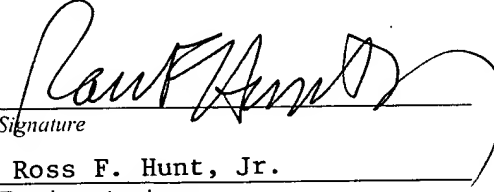
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- ☐ The copy of the paper(s) listed in the notice under 37 CFR 1.251 is/are a complete and accurate copy of applicant's record of such paper(s).
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December 17, 2004  
Date

  
Signature  
Ross F. Hunt, Jr.  
Typed or printed name

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## UNITED STATES PATENT AND TRADEMARK OFFICE

UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL PROPERTY AND  
DIRECTOR OF THE UNITED STATES PATENT AND TRADEMARK OFFICE

DECEMBER 03, 2003

LARSON & TAYLOR, PLC  
ROSS F. HUNT, JR.  
1199 NORTH FAIRFAX ST.  
SUITE 900  
ALEXANDRIA, VA 22314-1437

PTAS



\*102475780A\*

### UNITED STATES PATENT AND TRADEMARK OFFICE NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 06/13/2003

REEL/FRAME: 014169/0312  
NUMBER OF PAGES: 4

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:  
KEEPING, SEAN CRISPLAN

DOC DATE: 05/12/2003

ASSIGNOR:  
HOWELL, COLIN

DOC DATE: 05/20/2003

ASSIGNOR:  
MEAD, ROBERT ARTHUR

DOC DATE: 06/02/2003

ASSIGNOR:  
COE, DAVID EDWARD

DOC DATE: 05/22/2003

ASSIGNOR:  
BINZ, DIETER

DOC DATE: 05/12/2003

ASSIGNOR:  
JAMSON, LESLIE

DOC DATE: 05/20/2003

ASSIGNOR:  
GREENSTED, CHARLES LUCAS

DOC DATE: 05/22/2003

014169/0312 PAGE 2

ASSIGNEE:  
ABB LIMITED  
STONEFIELD WORKS, OULTON ROAD  
STAFFORDSHIRE ST15 0RS  
UNITED  
KINGDOM

SERIAL NUMBER: 09867743  
PATENT NUMBER:

FILING DATE: 05/31/2001  
ISSUE DATE:

SHAREILL COLES, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

06-18-2003

CUSTOMIZED  
Form PTO-1595  
(Rev. 10/02)  
OMB No. 0651-0027

RECOR



102475780

U.S. DEPARTMENT OF COMMERCE  
U.S. Patent and Trademark Office

To The Honorable Commissioner of Patents and Trademarks:  
Please record the attached original documents(s) or copy(ies) thereof.

Docket No.: P07239US00/RFH

## 1. Name of conveying party(ies)

KEEPING, Sean Crispian  
HOWELL, Colin Ernest  
MEAD, Robert Arthur  
COE, David Edward

BINZ, Dieter  
JAMSON, Leslie  
GREENSTED, Charles Lucas

6.13.03

## 2. Name and address of receiving party(ies):

Name: ABB LIMITED  
Street Address: Stonefield Works, Oulton Road  
City + Address: Staffordshire ST15 0RS, United Kingdom

## 3. Nature of conveyance:

☒ Assignment ☐ Merger ☐ Security Agreement  
☐ Change of Name ☐ Other:

Execution Date: May 12, 2003; May 20, 2003; May 22, 2003 and June 2, 2003

## 4. Application number(s) or patent number(s)

..... This document is filed together with a new application, whose execution date is:

A. Patent Application No.(s)

B. Patent No.(s)

09/867,743

## 5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Ross F. Hunt, Jr. Tel.: 703-739-4900  
LARSON & TAYLOR, PLC • 1199 North Fairfax St. • Suite 900 • Alexandria, VA 22314-1437

## 6. Total number of applications and patents involved:

#1

## 7. Total fee (37 CFR 3.41)

☒ Enclosed

\$40.00

(8. Any insufficiency in fee is authorized to be charged to Deposit Account No. 12-0555.)

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## 9. Signature.

Ross F. Hunt, Jr. 24,082

Name of person signing

Signature

June 13, 2003

Date

Total number of pages including cover sheet, attachments and documents: 4

06/18/2003 LUMELER 00000026 09867743

01 FC:8021

40.00 DP

ASSIGNMENT OF PATENT APPLICATION  
(US rights only - all rights assigned by inventors to a single assignee)

WHEREAS,

- (1) Sean Crispian KEEPING
- (2) Dieter BINZ
- (3) Colin Ernest HOWELL
- (4) Leslie JAMSON
- (5) Robert Arthur MEAD
- (6) Charles Lucas GREENSTED
- (7) David Edward COE

residing respectively at

- (1) 16 Church Road, Shortlands, Kent BR2 0HP, UNITED KINGDOM
- (2) c/o ABB Corporate Research, Wallstadter Strasse 59, D-68526, Ladenburg, GERMANY
- (3) 3 Powis Place, Eynesbury, St. Neots, Cambridgeshire PE19 2SS, UNITED KINGDOM
- (4) Clifton, Pittville Circus Road, Cheltenham, Gloucester GL52 2QH, UNITED KINGDOM
- (5) 74 Caxton End, Eltisley, St. Neots, Huntingdon, Cambridgeshire PE19 4TJ, UNITED KINGDOM
- (6) Brookbank, Priory Place, Cheltenham, Gloucester GL52 6HG, UNITED KINGDOM
- (7) 3 Ackerman Street, Eaton Socon, St. Neots, Cambridgeshire PE19 8HR, UNITED KINGDOM

(hereinafter referred to as the "ASSIGNOR") has/have invented certain new and useful improvements in MICRO-FILTRATION

for which an application for a United States Patent

was executed on even date herewith  
was executed on  
xx was filed on May 31, 2001, as Serial No. 09/867,743

And WHEREAS, ABB Limited

whose Post Office Address is Stonefield Works, Oulton Road, Stone, Staffordshire ST15 0RS, UNITED KINGDOM

(hereinafter referred to as the "ASSIGNEE") is desirous of acquiring the entire right, title and interest in and to said application and the invention(s) and improvement(s) therein disclosed, for the United States of America, and any Letters Patent which may issue therefor in the United States and all divisions, continuations, reissues, renewals and/or extensions thereof.



NOW THEREFORE in consideration of the sum of ten U.S. dollars (\$10.00) and other good and valuable consideration, the receipt and sufficiency of which is hereby acknowledged, the ASSIGNOR does hereby assign, sell, transfer and set over unto the ASSIGNEE the entire right, title and interest in and to said application and the invention(s) and improvement(s) therein disclosed, for the United States of America, and any Letters Patent which may issue therefor in the United States and all divisions, continuations, reissues, renewals and/or extensions thereof, said ASSIGNEE to have and to hold the interests herein assigned to the full ends of the terms of said Letters Patent and any and all divisions, continuations, reissues, renewals and/or extensions thereof, respectively, as fully and entirely as the same would have been held and enjoyed by the ASSIGNOR had this assignment not been made.

And for the consideration aforesaid, ASSIGNOR agrees that ASSIGNOR will communicate to said ASSIGNEE or the representatives thereof any facts known to ASSIGNOR respecting the invention(s) and improvements(s) of the said United States application, and will, upon request, but without expense to ASSIGNOR, testify in any legal proceedings, sign all lawful papers, execute all divisional, reissue, continuation, and further lawful acts, deemed necessary or expedient by said ASSIGNEE or by counsel for said ASSIGNEE, to assist or enable said ASSIGNEE to obtain and enforce full benefits from the rights and interests herein assigned.

This assignment shall be binding upon the ASSIGNOR's heirs, executors, administrators, successors and/or assigns, and shall inure to the benefit of the heirs, executors, administrators, successors, and/or assigns, as the case may be, of the ASSIGNEE.

The Commissioner of Patents is requested to issue such Letters Patent in accordance with this assignment.

I hereby authorize and request any attorney of record in said Application or any attorney of Larson & Taylor, PLC, Customer No. 00881, to insert above any information concerning the identity of the parties or of said Application (including the serial no. and filing date).

<u>NAME</u>	<u>SIGNATURE</u>	<u>DATE</u>
(1) Sean Crispian KEEPING	<u>S. Keeping</u>	<u>12/5/03</u>
(2) Dieter BINZ	<u>Dieter Binz</u>	<u>12-5-03</u>
(3) Colin Ernest HOWELL	<u>C. Howell</u>	<u>20/5/03</u>
(4) Leslie JAMSON	<u>L. Jamson</u>	<u>20/5/03</u>
(5) Robert Arthur MEAD	<u>R. Mead</u>	<u>21/6/03</u>
(6) Charles Lucas GREENSTED	<u>C. L. Greensted</u>	<u>22/5/03</u>
(7) David Edward COE	<u>D. E. Coe</u>	<u>22/5/03</u>

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RECORDATION FORM COVER SHEET  
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U.S. DEPARTMENT OF COMMERCE  
U.S. Patent and Trademark Office

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Docket No.: P07239US00/RFH

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09/867,743

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LARSON & TAYLOR, PLC • 1199 North Fairfax St. • Suite 900 • Alexandria, VA 22314-1437

Tel.: 703-739-4900

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Ross F. Hunt, Jr. 24,082

Name of person signing

Signature

June 13, 2003

Date

Total number of pages including cover sheet, attachments and documents: 4

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(6) Charles Lucas GREENSTED	<u>C. L. Greensted</u>	<u>22/5/03</u>
(7) David Edward COE	<u>D. E. Coe</u>	<u>22/5/03</u>

Security enhanced document. See back for details.

20770

**LARSON AND TAYLOR**  
TRANSPOTOMAC PLAZA  
1199 NORTH FAIRFAX ST., SUITE 900  
ALEXANDRIA, VA 22314

2-92

DATE June 13, 2003

15-120/540 DC  
0710

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ORDER OF

**COMMISSIONER OF PATENTS AND TRADEMARKS**

\$ 40.00

*Forty Dollars*

70 DOLLARS

**Bank of America.**



ACH R/T 054001204

*Assignment*

FOR

*PO 7239 USD - Keeping - 09/867,743*

*Pamela T. Johnson*

⑈020770⑈ ⑆054001204⑆ 002086837366⑈

Security features  
are included.  
Details on back.

MP

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